



THE UNITED STATES PATENT AND TRADEMARK OFFICE

14911

Receipt

Applicant: Elena Grossfeld et al.

Title: METHOD AND SYSTEM FOR MANAGING DATA TRANSACTION REQUESTS

Docket No.: 2043.059US1

Serial No.: 10/562,459

Filed: December 29, 2005

Due Date: N/A

Examiner: Unknown

Group Art Unit: 3621

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

We are transmitting herewith the attached:

- A return postcard.
- Communication Re: Incorrect Filing Receipt (1 pg.)
- Copy of Filing Receipt (3 pgs.)
- Copy of Signed Combined Declaration and Power of Attorney (8 pgs.)
- Copy of the Application Postcard (1 pg.)

No Additional fee is required.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
Customer No: 21186

By: Mark R. Vatuone  
Name: Mark R. Vatuone  
Reg. No. 53,719

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 19 day of September, 2006.

Kathleen Hauser  
Name

Kathleen Hauser  
Signature



S/N 10/562,459

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Elena Grossfeld et al. Examiner: Unknown  
Serial No.: 10/562,459 Group Art Unit: 3621  
Filed: December 29, 2005 Docket: 2043.059US1  
Customer No. 21186 Confirmation No. 6053  
Title: METHOD AND SYSTEM FOR MANAGING DATA TRANSACTION  
REQUESTS

COMMUNICATION RE: INCORRECT FILING RECEIPT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Applicants hereby request correction of the Filing Receipt with respect to the above-identified patent application. In the Filing Receipt, received September 5, 2006, (copy enclosed), inventor names Sunjatini Widjojo, Greg Seitz, and Christopher J. Kasten are spelled incorrectly. A copy of the Signed Combined Declaration and Power of Attorney filed with the Application and the Filed Application return postcard has been enclosed to show the oversight.

Applicants would appreciate the above-identified printing error be corrected and that a new "corrected" filing receipt be sent to Applicants' representatives at the address given below.

Respectfully submitted,  
ELENA GROSSFELD ET AL.

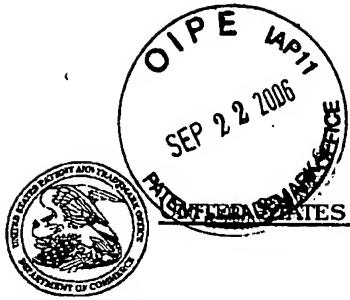
By their Representatives,  
SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938  
Minneapolis, MN 55402  
408-278-4046

Date 9.19.2006 By Mark R. Vatuone  
Mark R. Vatuone  
Reg. No. 53,719

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Kathleen Hauser  
Name

Kathleen Hauser  
Signature



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/562,459	12/29/2005	3621	1300	2043.059US1	10	30	4

## CONFIRMATION NO. 6053

49845  
SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH/EBAY  
P.O. BOX 2938  
MINNEAPOLIS, MN 55402

## FILING RECEIPT



\*OC000000020299598\*

Date Mailed: 09/05/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Elena Grossfeld, Sunnyvale, CA;  
Surlatini Widjojo, Los Gatos, CA;  
Thorsten Lockert, San Jose, CA;  
Greg Saltz, Lake Oswego, OR;  
Kenneth Randall Wigginton, San Jose, CA;  
Christopher Kasten, Sacramento, CA;

**Power of Attorney:** The patent practitioners associated with Customer Number 49845.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/US04/14997 05/12/2004  
which claims benefit of 60/484,827 07/03/2003

## Foreign Applications

If Required, Foreign Filing License Granted: 09/03/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/562,459**

Projected Publication Date: 12/14/2006

Non-Publication Request: No

Early Publication Request: No

INTELLEVATE	
SEP 12 2006	
RECEIVED	
Coded	Verified

Schwegman, Lundberg,  
Woessner & Kluth, P.A.

SEP 11 2006

RECEIVED

FRCT & NACC

**Title**

Method and system for managing data transaction requests

**Preliminary Class**

705

## **PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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### **LICENSE FOR FOREIGN FILING UNDER**

**Title 35, United States Code, Section 184**

**Title 37, Code of Federal Regulations, 5.11 & 5.15**

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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Attorney Docket No.2043.059US1

SCHWEGMAN ■ LUNDBERG ■ WOESSNER ■ KLUTH

## United States Patent Application COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that

I verily believe I am the original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled: **METHOD AND SYSTEM FOR MANAGING DATA TRANSACTION REQUESTS,**

the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with 37 C.F.R. § 1.56 (attached hereto). I also acknowledge my duty to disclose all information known to be material to patentability which became available between a filing date of a prior application and the national or PCT international filing date in the event this is a Continuation-In-Part application in accordance with 37 C.F.R. § 1.63(e).

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on the basis of which priority is claimed:

**No such claim for priority is being made at this time.**

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Number  
60/484,827

Filing Date  
July 3, 2003

I hereby claim the benefit under 35 U.S.C. § 120 or 365(c) of any United States and PCT international application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. § 1.56(a) which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number  
PCT/US2004/014997

Filing Date  
May 12, 2004

Status  
Published February 3, 2005 as WO  
2005/010650 A2

I hereby appoint the attorneys associated with the customer number listed below to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith:

Customer Number: 49845

I hereby authorize them to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/organization/who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct Schwegman, Lundberg, Woessner & Kluth, P.A. to the contrary. Please direct all correspondence in this case to Schwegman, Lundberg, Woessner & Kluth, P.A. at the address indicated below:

P.O. Box 2938, Minneapolis, MN 55402  
Telephone No. (612)373-6900

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of joint inventor number 1 : Elena Grossfeld

Citizenship:

Israel

Residence: Sunnyvale, CA

Post Office Address:

737 Chemowa Ct.  
Sunnyvale, CA 94087

Signature: \_\_\_\_\_

  
Elena Grossfeld

Date: 10/13/05

Additional inventors are being named on separately numbered sheets, attached hereto.

Attorney Docket No.: 2043.059US1  
Social No. not assigned  
Filing Date: not assigned

Full Name of joint inventor number 2 : Surjatini Widjaja

Citizenship: United States of America  
Post Office Address: 15880 Lomas Lane  
Los Gatos, CA 95030

Residence: Los Gatos, CA

Signature: \_\_\_\_\_

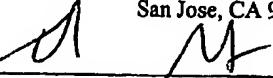
Surjatini Widjaja

Date: 10/28/05

Full Name of joint inventor number 3 : Thorsten Lockert

Citizenship: United States of America  
Post Office Address: 1020 Glen Brook Avenue  
San Jose, CA 95125

Residence: San Jose, CA

Signature:   
Thorsten Lockert

Date: 12/13/05

Full Name of joint inventor number 4 : Greg Seitz  
Citizenship: United States of America  
Post Office Address: 13774 Melrose Place  
Lake Oswego, OR 97035

Residence: Lake Oswego, OR

Signature: 

Greg Seitz

Date: 10-17-2005

Full Name of joint inventor number 5 : Kenneth Randall Wigginton  
Citizenship: United States of America Residence: San Jose, CA  
Post Office Address: 876 Franquette Ave.  
San Jose, CA 95125

Signature: KRW Date: 10/15/05  
Kenneth Randall Wigginton

Full Name of joint inventor number 6: Christopher J. Kasten  
Citizenship: United States of America Residence: Sacramento, CA  
Post Office Address: 10 Bascom Court  
Sacramento, CA 95835  
Signature: Christopher J. Kasten Date: 10/14/2005

**§ 1.56 Duty to disclose information material to patentability.**

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) prior art cited in search reports of a foreign patent office in a counterpart application, and
- (2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

- (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or
- (2) It refutes, or is inconsistent with, a position the applicant takes in:
  - (i) Opposing an argument of unpatentability relied on by the Office, or
  - (ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

- (1) Each inventor named in the application;
- (2) Each attorney or agent who prepares or prosecutes the application; and
- (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

In re Patent Application of: Elena Grossfeld et al.

Title: METHOD AND SYSTEM FOR MANAGING DATA TRANSACTION REQUESTS

Attorney Docket No.: 2043.059US1

**10/562459**

NSPCT

Receipt is hereby acknowledged for the following in the United States Patent and Trademark  
Office:

**CONTENTS:** A Transmittal Letter to the DO/EO/US (and duplicate copy thereof) concerning a PCT –  
U.S. National Stage filing under 35 U.S.C. § 371 of International Application No.

PCT/US2004/020149; Signed Combined Declaration and Power of Attorney (8 pgs); Authorization to  
charge Deposit Account 19-0743 in the amount of \$1300.00 to pay the filing fee; Information Disclosure  
Statement (2 pgs), Form 1449 (1 pg); and cited references (2); Preliminary Amendment (3 pgs); Request  
for Correction of Inventorship Pursuant to 37 C.F.R. 1.497(d), including authorization to charge Deposit  
Account 19-0743 in the amount of \$130.00 to cover the fee under 37 C.F.R. 1.17(i)(1 pg); Statement of  
James Barrese Pursuant to 37 C.F.R. 1.497(d)(1)(1 pg ); Consent of Assignee to Correct Inventorship  
Under 37 C.F.R. 1.497(d)(3)(1 pg ); return postcard and transmittal sheet.

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Mailed: December 29, 2005 MRV/pwr

**AP3 Rec'd PCT/PTO 29 DEC 2005**